
Unit 3: Delegation of Authority & Management by Objectives



Unit 3: Delegation of Authority & Management by Objectives



Visual Description: Unit Introduction

Key Points

This unit covers the sources from which Incident Commanders derive their authorities and how those authorities are used to establish incident objectives.



Unit Objectives

- Describe the delegation of authority process.
- Describe scope of authority.
- Describe management by objectives.
- Describe the importance of preparedness plans and agreements.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.2

Visual Description: Unit Objectives

Key Points

By the end of this unit, you should be able to:

- Describe the delegation of authority process.
- Describe scope of authority.
- Describe management by objectives.
- Describe the importance of preparedness plans and agreements.



Authority

Authority is . . .

**. . . a right or obligation to act on
behalf of a department, agency, or
jurisdiction.**



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.3

Visual Description: Definition of Authority

Key Points

Authority means a right or obligation to act on behalf of a department, agency, or jurisdiction.



Who's Responsible?

Within your
jurisdiction or agency, who
has the authority for
protecting citizens and
responding to incidents?

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.4

Visual Description: Within your jurisdiction or agency, who has the authority for protecting citizens and responding to incidents?

Key Points



Within your jurisdiction or agency, who has the authority for protecting citizens and responding to incidents?



Scope of Authority

An Incident Commander's scope of authority is derived:

- From existing laws and agency policies and procedures, and/or
- Through a delegation of authority from the agency administrator or elected official.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.5

Visual Description: Scope of Authority

Key Points

An Incident Commander's scope of authority is derived:

- From existing laws and agency policies and procedures, and/or
- Through a delegation of authority from the agency administrator or elected official.



Delegation of Authority

- Grants authority to carry out specific functions.
- Issued by chief elected official, chief executive officer, or agency administrator in writing or verbally.
- Allows the Incident Commander to assume command.
- Does NOT relieve the granting authority of the ultimate responsibility for the incident.



Mayor



Incident Commander

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.6

Visual Description: Delegation of Authority

Key Points

Note the following key points:

- The process of granting authority to carry out specific functions is called the delegation of authority.
- Delegation of authority:
 - Grants authority to carry out specific functions.
 - Is issued by the chief elected official, chief executive officer, or agency administrator in writing or verbally.
 - Allows the Incident Commander to assume command.
 - Does NOT relieve the granting authority of the ultimate responsibility for the incident.
- Ideally, this authority will be granted in writing. Whether it is granted in writing or verbally, the authorities granted remain with the Incident Commander until such time as the incident is terminated, or a relief shift Incident Commander is appointed, or the Incident Commander is relieved of his or her duties for just cause.



Delegation of Authority: When Not Needed

A delegation of authority may not be required if the Incident Commander is acting within his or her existing authorities.



An emergency manager may already have the authority to deploy response resources to a small flash flood.



A fire chief probably has the authority (as part of the job description) to serve as an Incident Commander at a structure fire.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.7

Visual Description: When a delegation of authority may not be needed.

Key Points

A delegation of authority may not be required if the Incident Commander is acting within his or her existing authorities.

Refer to the following examples of when a delegation of authority may not be necessary:

- **Example 1:** An emergency manager may already have the authority to deploy response resources to a small flash flood.
- **Example 2:** A fire chief probably has the authority (as part of the job description) to serve as an Incident Commander at a structure fire.



Jot down other instances when a delegation of authority may not be necessary.



Delegation of Authority: When Needed

- If the incident is outside the Incident Commander's home jurisdiction.
- When the incident scope is complex or beyond existing authorities.
- If required by law or procedures.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.8

Visual Description: When a delegation of authority may be needed.

Key Points

A delegation of authority may be needed:

- If the incident is outside the Incident Commander's home jurisdiction.
- When the incident scope is complex or beyond existing authorities.
- If required by law or procedures.



Discussion Question

When would an Incident Commander in your jurisdiction or agency need a delegation of authority?

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.9

Visual Description: When would an Incident Commander in your jurisdiction or agency need a delegation of authority?

Key Points



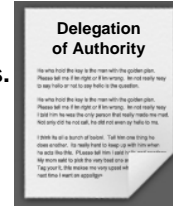
When would an Incident Commander in your jurisdiction or agency need a delegation of authority?



Delegation of Authority: Elements

Should include:

- Legal authorities and restrictions.
- Financial authorities and restrictions.
- Reporting requirements.
- Demographic issues.
- Political implications.
- Agency or jurisdictional priorities.
- Plan for public information management.
- Process for communications.
- Plan for ongoing incident evaluation.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.10

Visual Description: Elements included in a delegation of authority

Key Points

A delegation of authority should include the following elements:

- Legal authorities and restrictions.
- Financial authorities and restrictions.
- Reporting requirements.
- Demographic issues.
- Political implications.
- Agency or jurisdictional priorities.
- Plan for public information management.
- Process for communications.
- Plan for ongoing incident evaluation.

The delegation should also specify when the authority ends and demobilization conditions (e.g., the teams will not be released until the following conditions have been met).



Discussion Question

How do you ensure
that the delegating
authority remains an active
part of the incident
response?

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.11

Visual Description: How do you ensure that the delegating authority remains an active part of the incident response?

Key Points

The final responsibility for the resolution on the incident remains with the chief elected official, chief executive officer, or agency administrator. It is imperative then that the chief elected official, chief executive officer, or agency administrator remain an active participant, supporter, supervisor, and evaluator of the Incident Commander.

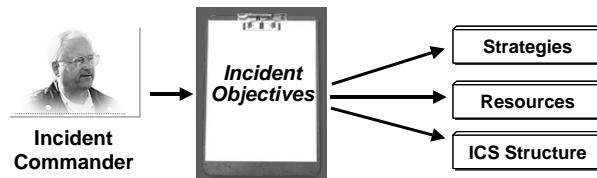


How do you ensure that the delegating authority remains an active part of the incident response?



Implementing Authorities

Within his or her scope of authority, the Incident Commander establishes incident objectives, then determines strategies, resources, and ICS structure.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.12

Visual Description: Implementing Authorities

Key Points

The Incident Commander must have the authority to:

- Establish incident objectives.
- Determine appropriate strategies.
- Acquire appropriate agency or jurisdiction resources.

The Incident Commander must also have the authority to establish an ICS structure adequate to protect the safety of responders and citizens, to control the spread of damage, and to protect the environment.



Management by Objectives

- ICS is managed by objectives.
- Objectives are communicated throughout the entire ICS organization through the incident planning process.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.13

Visual Description: Management by Objectives

Key Points

ICS is managed by objectives. Objectives are communicated throughout the entire ICS organization through the incident planning process.

Management by objectives includes:

- Establishing overarching objectives.
- Developing and issuing assignments, plans, procedures, and protocols.
- Establishing specific, measurable objectives for various incident management functional activities.
- Directing efforts to attain them, in support of defined strategic objectives.
- Documenting results to measure performance and facilitate corrective action.



Establishing and Implementing Objectives

The steps for establishing and implementing incident objectives include:

- **Step 1:** Understand agency policy and direction.
- **Step 2:** Assess incident situation.
- **Step 3:** Establish incident objectives.
- **Step 4:** Select appropriate strategy or strategies to achieve objectives.
- **Step 5:** Perform tactical direction.
- **Step 6:** Provide necessary followup.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.14

Visual Description: Steps for establishing and implementing objectives

Key Points

Note the following steps for establishing and implementing incident objectives.

Step 1: Understand agency policy and direction.

Step 2: Assess incident situation.

Step 3: Establish incident objectives.

Step 4: Select appropriate strategy or strategies to achieve objectives.

Step 5: Perform tactical direction.

Step 6: Provide necessary followup.

The Incident Commander must have a firm grasp of the policies and direction of his or her agency or jurisdiction. Laws, regulations, and policies of that agency or jurisdiction will govern the Incident Commander's scope of authority to act and, therefore, the objectives established.

The ICS-300 course presents more training in setting objectives and the planning process cycle.



Initial Response: Size-Up

The first responder to arrive must assume command and size up the situation by determining:

- The nature and magnitude of the incident.
- Hazards and safety concerns:
 - Hazards facing response personnel and the public
 - Evacuation and warnings
 - Injuries and casualties
 - Need to secure and isolate the area
- Initial priorities and immediate resource requirements.
- The location of the Incident Command Post and Staging Area.
- Entrance and exit routes for responders.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.15

Visual Description: Initial Response: Size- Up

Key Points

In an initial incident, a size-up is done to set the immediate incident objectives.

The first responder to arrive must assume command and size up the situation by determining:

- The nature and magnitude of the incident.
- Hazards and safety concerns:
 - Hazards facing response personnel and the public
 - Evacuation and warnings
 - Injuries and casualties
 - Need to secure and isolate the area
- Initial priorities and immediate resource requirements.
- The location of the Incident Command Post and Staging Area.
- Entrance and exit routes for responders.



What additional factors might you consider when conducting a size-up?

Topic

Management by Objectives



Overall Priorities

Incident objectives are established based on the following priorities:

- #1: Life Saving
- #2: Incident Stabilization
- #3: Property Preservation



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.16

Visual Description: Overall Priorities

Key Points

Throughout the incident, objectives are established based on the following priorities:

- **First Priority:** Life Saving
- **Second Priority:** Incident Stabilization
- **Third Priority:** Property Preservation



Jot down examples of each type of priority.



Effective Incident Objectives

Effective incident objectives must be . . .

- Specific and state what's to be accomplished.
- Measurable and include a standard and timeframe.
- Attainable and reasonable.
- In accordance with the Incident Commander's authorities.
- Evaluated to determine effectiveness of strategies and tactics.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.17

Visual Description: Characteristics of Effective Objectives

Key Points

Incident objectives must describe what must be accomplished and provide substantive direction for work at the incident.

Effective incident objectives must be:

- Specific and state what's to be accomplished.
- Measurable and include a standard and timeframe.
- Attainable and reasonable.
- In accordance with the Incident Commander's authorities.
- Evaluated to determine effectiveness of strategies and tactics.



Sample Incident Objectives

Incident: At noon a sudden, severe windstorm strikes the city, uprooting trees and trapping several commuters in their vehicles. Power is out to half of the city. Traffic is gridlocked. The storm has passed as quickly as it began.

Incident Objectives:

- Identify life-safety priorities and initial resource needs.
- Begin rescue operations before 12:45.
- What other objectives would you add?

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.18

Visual Description: Sample Incident Objectives

Key Points

Refer to the following incident:

Incident: At noon a sudden, severe windstorm strikes the city, uprooting trees and trapping several commuters in their vehicles. Power is out to half of the city. Traffic is gridlocked. The storm has passed as quickly as it began.

Refer to the sample incident objectives.

Incident Objectives:

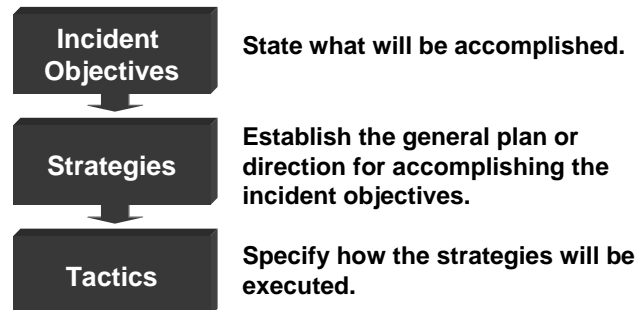
- Identify life-safety priorities and initial resource needs.
- Begin rescue operations before 12:45.



Take a few minutes and write down at least one additional incident objective.



Objectives, Strategies, and Tactics



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.19

Visual Description: Objectives, Strategies, and Tactics

Key Points

Note the following differences between incident objectives, strategies, and tactics:

- **Incident objectives** state what will be accomplished.
- **Strategies** are the general plan or direction selected to accomplish the incident objectives set by the Incident Commander.
- **Tactics** specify how the strategies will be executed, including deploying and directing of resources.

Note the following key points:

- The Incident Commander is responsible for establishing goals and selecting strategies.
- The Operations Section, if it is established, is responsible for determining appropriate tactics.



Elements of an Incident Action Plan

An IAP covers an operational period and includes:

- What must be done.
- Who is responsible.
- How information will be communicated.
- What should be done if someone is injured.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.20

Visual Description: Elements of an Incident Action Plan

Key Points

Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities.

An IAP covers an operational period and includes:

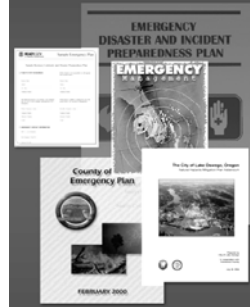
- What must be done.
- Who is responsible.
- How information will be communicated.
- What should be done if someone is injured.

The **operational period** is the period of time scheduled for execution of a given set of tactical actions as specified in the Incident Action Plan.



Preparedness Plans and Agreements

The Incident Commander, as well as the Command and General Staffs, should have a working knowledge of jurisdictional and agency preparedness plans and agreements.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.21

Visual Description: Preparedness Plans and Agreements

Key Points

The Incident Commander, as well as the Command and General Staffs, should have a working knowledge of jurisdictional and agency preparedness plans and agreements.

Topic

Preparedness Plans and Agreements



Preparedness Plans

The most common preparedness plans are:

- Federal, State, or local Emergency Operations Plans (EOPs).
- Standard operating guidelines (SOGs).
- Standard operating procedures (SOPs).
- Jurisdictional or agency policies.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.22

Visual Description: Preparedness Plans

Key Points

Preparedness plans may take many forms, but the most common include:

- Federal, State, or local Emergency Operations Plans (EOPs).
- Standard operating guidelines (SOGs).
- Standard operating procedures (SOPs).
- Jurisdictional or agency policies.

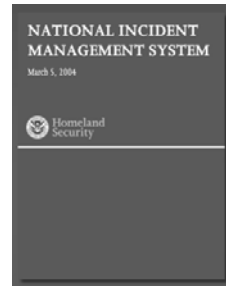


Jot down other examples of preparedness plans.



Emergency Operations Plans (EOPs)

- EOPs are developed at the Federal, State, and local levels to provide a uniform response to all hazards.
- EOPs written after October 2005 must be consistent with NIMS.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.23

Visual Description: Emergency Operations Plans (EOPs)

Key Points

Note the following key points:

- EOPs are developed at the Federal, State, and local levels to provide a uniform response to all hazards that a community may face.
- EOPs written after October 2005 must be consistent with the National Incident Management System (NIMS).
- NIMS is mandated by Homeland Security Presidential Directive (HSPD)-5, which directs the Secretary of Homeland Security to develop and administer a National Incident Management System. According to HSPD-5:

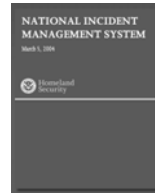
"This system will provide a consistent nationwide approach for Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multiagency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources."



Mutual-Aid Agreements (1 of 2)

NIMS states that:

- Mutual-aid agreements are the means for one jurisdiction to provide resources, facilities, services, and other required support to another jurisdiction during an incident.
- Each jurisdiction should be party to a mutual-aid agreement with appropriate jurisdictions from which they expect to receive or to which they expect to provide assistance during an incident.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.24

Visual Description: Mutual-Aid Agreements (1 of 2)

Key Points

NIMS states that:

- Mutual-aid agreements are the means for one jurisdiction to provide resources, facilities, services, and other required support to another jurisdiction during an incident.
- Each jurisdiction should be party to a mutual-aid agreement with appropriate jurisdictions from which they expect to receive or to which they expect to provide assistance during an incident.



Mutual-Aid Agreements (2 of 2)

- Mutual aid is the voluntary provision of resources by agencies or organizations to assist each other when existing resources are inadequate.
- When combined with NIMS-oriented resource management, mutual aid allows jurisdictions to share resources among mutual-aid partners.



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.25

Visual Description: Mutual-Aid Agreements (2 of 2)

Key Points

Note the following key points:

- Mutual aid is the voluntary provision of resources by agencies or organizations to assist each other when existing resources are inadequate.
- When combined with NIMS-oriented resource management, mutual aid allows jurisdictions to share resources among mutual-aid partners.
- At a minimum, mutual-aid agreements should include the following elements or provisions:
 - Definitions of key terms used in the agreement;
 - Roles and responsibilities of individual parties;
 - Procedures for requesting and providing assistance;
 - Procedures, authorities, and rules for payment, reimbursement, and allocation of costs;
 - Notification procedures;
 - Protocols for interoperable communications;
 - Relationships with other agreements among jurisdictions;
 - Workers compensation;
 - Treatment of liability and immunity;
 - Recognition of qualifications and certifications; and
 - Sharing agreements, as required.
- Authorized officials from each of the participating jurisdictions must collectively approve all mutual-aid agreements.



Mutual-Aid Agreements: All Levels

- Federal agencies offer mutual aid to each other and to States, tribes, and territories under the NRP.
- States can participate in mutual aid through the Emergency Management Assistance Compact (EMAC).
- Local jurisdictions participate in mutual aid through agreements with neighboring jurisdictions.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.26

Visual Description: Mutual-Aid Agreements at All Levels

Key Points

Mutual-aid agreements are at all levels of government. For example:

- Federal agencies offer mutual aid to each other and to States, tribes, and territories under the National Response Plan (NRP).
- States can participate in mutual aid through the Emergency Management Assistance Compact (EMAC).
- Local jurisdictions participate in mutual aid through agreements with neighboring jurisdictions.



Information Derived From Plans

Plans may include information about:

- Hazards and risks in the area.
- Resources in the area.
- Other formal agreements and plans.
- Contact information for agency administrators and response personnel.
- Other pertinent information.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.27

Visual Description: Information Derived From Plans

Key Points

Note that plans may include information about:

- Hazards and risks in the area.
- Resources in the area.
- Other formal agreements and plans.
- Contact information for agency administrators and response personnel.
- Other pertinent information.



Discussion Question

What preparedness plans, agreements, and standard operating procedures must you follow in responding to incidents?

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.28

Visual Description: What preparedness plans, agreements, and standard operating procedures must you follow in responding to incidents?

Key Points



What preparedness plans, agreements, and standard operating procedures must you follow in responding to incidents?

Topic

Activity

**Activity: Developing Incident Objectives****Instructions:**

1. Working as a team, review the scenario, scenario map, and resource list in your Student Manuals.
2. Develop incident objectives for the next 12 hours.
3. Next, identify your general strategy for accomplishing these objectives.
4. Select a spokesperson and be prepared to present your work in 30 minutes.

Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.29

Visual Description: Developing Incident Objectives Activity

Key Points

Purpose: The purpose of this activity is to develop incident objectives and a strategy for accomplishing these objectives after reviewing the relevant information.

Instructions:

1. Working as a team, review the scenario, scenario map, and resource list starting on the next page in your Student Manuals.
2. Develop incident objectives for the next 12 hours.
3. Next, identify your general strategy for accomplishing these objectives.
4. Select a spokesperson and be prepared to present your work in 30 minutes.

Topic

Activity



Develop incident objectives and strategies for accomplishing these objectives.

Incident Objective	Strategy

Scenario**Developing Incident Objectives****Emerald City Flood****Situation:**

Your Incident Management Team has been asked to assist Emerald City in its preparations for a response to a possible flood situation in the northwest quadrant of the city. National Weather Service (NWS) reports indicate that it has been raining heavily for the past 7 days, averaging 1.3 inches of rain each 24-hour period.

The Rapid River, which runs north and south through Emerald City, is experiencing slow-rise flooding. The flooding is being aggravated by debris catching on the low bridge downstream from lower Lake Emerald. The bridge is located on 10th St., just west of Main St.

Located upstream from the bridge is the Lake Emerald Independent Living Complex, which includes independent living apartments to the south, two buildings of assisted living units, and one skilled nursing facility. These are located to the east of the bridge. To the west are the Gordon Elementary School and the water treatment plant. Just to the north and east of Lake Emerald is the Industrial Park.

It is 1200 hours, and the NWS has just informed the County Emergency Management office that the flooding is expected to crest at 1800 today. It is expected that this flood crest will cause flooding as indicated on the projected floodplain map.

Residents in the area north of the 10th St. bridge from Main St. on the east to Avenue AA on the west are being asked to evacuate their homes in anticipation that the rising floodwaters may cut off access to and egress from their homes. Basement flooding at least to the first-floor level is anticipated. This evacuation area extends north to 19th St. County Emergency Management is in contact with business owners in the Industrial Park to determine if any of their stored chemicals will be affected by the flooding, causing possible contamination downstream.

In addition, the County Emergency Management office has been receiving calls from residents in the rural area to the northwest of the city with concerns about the floodwaters approaching their wells.

Weather:

Current pattern continues through midnight, then partial clearing. Highs in the mid 40's, lows in the high 30's. Chance of precipitation 60% through midnight, reducing to 40% after midnight. Expected precipitation next 24 hours is .75 inches. Winds from the west 10-15 mph.

Resources:

- County Emergency Management:
 - County Director
 - Deputy Director
 - Program Assistant
- County Health Department:
 - Public Health Director
 - 4 Public Health Nurses
 - 2 administrative staff
 - Mutual-aid agreements in place with 6 neighboring counties could allow for an additional 14 public health staff.

Scenario**Developing Incident Objectives**

Emerald City Flood**Resources:**

- American Red Cross (ARC):
 - 3 full-time staff
 - Approximately 45 trained volunteers
 - 1 Emergency Response Vehicle
- Mutual Aid:
 - State ARC resources
 - Salvation Army
 - Mennonites
- Shelters:
 - Lawrence Senior High School
 - Lafayette Middle School
 - Gordon Elementary School
- Fire and EMS: The following resources are within close proximity and available for response:
 - 3 engine companies (4 personnel each)
 - 1 truck company (4 personnel each)
 - 3 basic life support ambulances (2 EMTs)
 - 1 advanced life support ambulance (2 paramedics)
 - 1 Mobile Command Vehicle
- Law Enforcement:
 - Units within close proximity: 1 sergeant, 3 officers
 - Other responding units: 1 captain, 2 lieutenants, 3 sergeants, 8 officers, mobile command post (6 officers remain in service elsewhere in the city)
 - County Sheriff's Office: 1 lieutenant, 2 sergeants, 6 deputies
 - State Troopers: 2 sergeants, 8 troopers
 - 1 Tactical Mobile Command Vehicle
- Department of Public Works:
 - Emerald City
 - 6 dump trucks
 - 2 road graders
 - 4 front loaders
 - 2 backhoes
 - 6 pickup trucks
 - Available mutual aid
 - 20 dump trucks
 - 6 road graders
 - 6 front loaders
 - 8 backhoes
 - 22 pickup trucks

Scenario**Developing Incident Objectives**

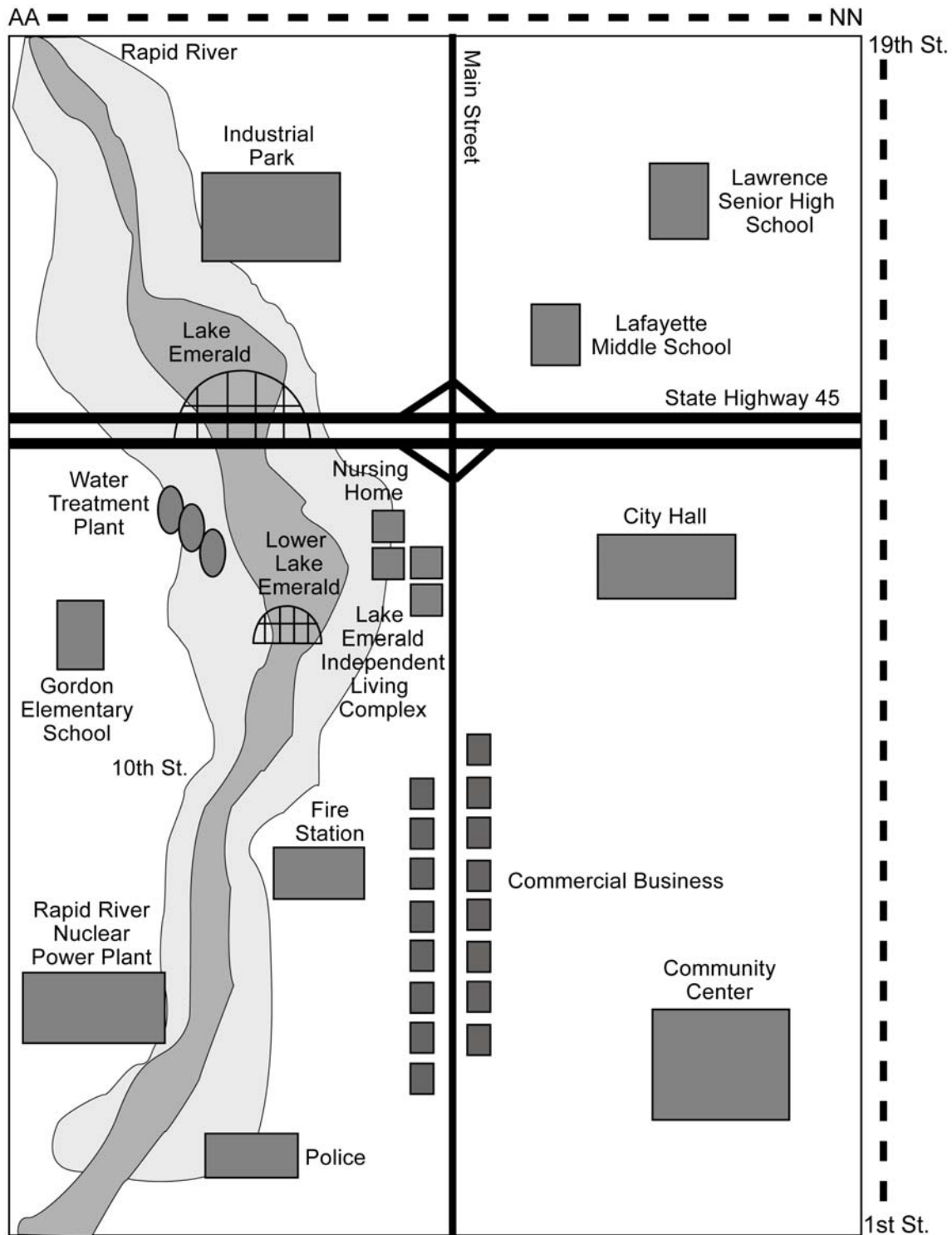
Emerald City Flood**Resources:****OTHER AGENCIES THAT MAY OR WILL RESPOND**

- Emerald City Memorial Hospital
- Edison Electric
- Commonwealth Gas Company
- City Water Authority
- City Transit Authority
- County School District (buses available)

Media:

- 3 (local) newspaper reporters
- 2 network reporters and crews
- 5 radio station news staff members
- 3 TV reporters and crews (WLOX, WEMI, WCSU)
- 1 TV helicopter (WEMI)

Emerald City Flood

Map:



Summary

Are you now able to:

- Describe the delegation of authority process?
- Describe scope of authority?
- Describe management by objectives?
- Describe the importance of preparedness plans and agreements?



Unit 3:
Delegation of Authority & Management by Objectives

Visual 3.30

Visual Description: Summary

Key Points

Are you now able to:

- Describe the delegation of authority process?
- Describe scope of authority?
- Describe management by objectives?
- Describe the importance of preparedness plans and agreements?

The next unit presents information about the functions of organizational positions within the Incident Command System.

**Your Notes**